

# **EXHIBIT A**

# **EXHIBIT C**

Please complete each section. The completed and signed form should be returned to our head office marked for the attention of our Compliance Department.

**SECTION 1A - IDENTIFICATION DETAILS**

Company/Fund/Trust Name:

The Goldstein Law Group PC 401(k)

Legal Name:

Profit Sharing Plan FBO

Trading Name:

Sheldon and Scott Goldstein

**Registered Office**

Building Name/Number:

61

Street Name:

Broadway - Suite 1915

Town/City:

New York, NY

Postal/Zip Code:

10006

Country:

USA

**Address for Correspondence** (If different from above)

Building Name/No. and Street:

5532 Lillehammer Lane Suite 103

Town/City:

Park City, UT

Postal/Zip Code:

84098

Country:

USA

Please provide reason for alternative address:

Address of POA

**Registered Details**

Registered Number:



Country of Incorporation:

USA

Date of Incorporation:

October 28, 1999

**Company Background**

Industry Sector:

Pension

Where this is a Private Investment Vehicle, please specify source of investment funds:

Trading Responsibility (order placing) - Are you (Please tick relevant box):

Trading on a Proprietary Basis/own account

☒

Trading on behalf of underlying beneficial owners via an Omnibus arrangement

☐Trading through a management arrangement company (Fund Manager, Commodity Trading Advisor (CTA), Broker) **Please complete Section 1B**☐

**Fund Incorporation**

Name of Umbrella/Master Fund (If applicable):

Address:

Name of Protected Cell / Feeder Fund (If applicable):

Name of Prime Brokers:

Name of Administrator:

Address of Administrator:

Contact name at the Administrator:

If any of the above are regulated, please provide name and country of the regulator:

**Ownership Structure**

Publicly listed

Please provide Name of Exchange for Primary listing

Private:

Government Owned:

Please provide registration reference No.:

Pension

**Beneficial Owners (25% and over)**

We are obliged to ensure that we identify and verify the ultimate beneficial ownership of any account that we open. Accordingly, please disclose any shareholders/trustees or beneficiaries having an interest of 25% or more in the entity above, either directly or through chain of ownership. We will require full identity and address verification for any individual declared. (Please see attached checklist.)

Name:

Address:

% of Ownership:

Name:

Address:

% of Ownership:

Name:

Address:

% of Ownership:

Name:

Address:

% of Ownership:

Scott H. Goldstein

61 Broadway Suite 1915, New York, NY 10006

50

Sheldon Goldstein

61 Broadway Suite 1915, New York, NY 10006

50

Does the company issue bearer shares?

Yes ☐ No ☒

## Controlling Individuals – Directors, Officers

We are required to verify at least two directors/controllers including all those signing this form.  
Please provide identification for such individuals as detailed in the enclosed Documentation Checklist.

Name:

Scott H. Goldstein

Address:

61 Broadway Suite 1915, New York, NY 10006 USA

Signing Authority (ie Sole / joint / A Signatory / B Signatory)

B Signatory

Name:

Sheldon Goldstein

Address:

61 Broadway Suite 1915, New York, NY 10006 USA

Signing Authority (ie Sole / joint / A Signatory / B Signatory)

A Signatory

Name:

Address:

Signing Authority (ie Sole / joint / A Signatory / B Signatory)

Name:

Address:

Signing Authority (ie Sole / joint / A Signatory / B Signatory)

## Contact Details of Person(s) Nominated to Operate the Account

Name:

Stacey Kammer

Position:

Authorized Signatory

Telephone:

+1 435-604-0935

Telephone (Alternative):

+1 203-561-5954

Fax:

+1 435-604-0938

Email:

SK@acerinvest.com

## Additional Contact Details

Name:

Position:

Telephone:

Telephone (Alternative):

Fax:

Email:



## Politically Exposed Persons (PEP)

A Politically Exposed Person (PEP) is an individual who is, or has been, entrusted with prominent public functions, or is an immediate family member, or a known close associate, of such a person.

Is any individual stated in Section 1a politically exposed person (PEP)?

Yes ☐ No ☒

If "Yes", please provide details:

## SECTION 1B - MANAGEMENT COMPANY / BROKER / CTA DETAILS

We are obliged to obtain details of the directors/officers of the below company. Accordingly, please list their details and provide identification as per the Documentation Checklist.

Name of Management Company:

Type (e.g. IM, CTA, Broker):

Registered Address:

Operating Address:

Regulatory Authority Name:

Regulatory Jurisdiction:

Regulator Reference No.:

BIC Code:

Director/Officer-Name and Position:

Director/Officer-Name and Position:

Director/Officer-Name and Position:

Director/Officer-Name and Position:

## SECTION 2 - EXISTING LINKS WITH ED &amp; F MAN CAPITAL MARKETS LIMITED ("MCM")

- i. Does the Company/Trust/Fund have, or is it responsible for, any existing account held with MCM or any of its associated companies?

Yes ☐ No ☒

If "Yes", please specify account number(s) and relationship:

- ii. Does the Company/Trust/Fund (or any person associated with it) have a financial interest in any existing account held with MCM, or any of its associated companies?

Yes ☐ No ☒

If "Yes", please specify account number(s) and relationship:

- iii. Where the proposed account is a managed account, does the Management Company have, or is it responsible for, any existing accounts held with MCM or any of its associated companies?

Yes ☐ No ☒

If "Yes", please advise details:

**SECTION 3 - PRODUCTS TO BE TRADED**

Exchange-traded Futures and Options, including Commodities	<input checked="" type="checkbox"/>
Equity CFD's	<input type="checkbox"/> Securities (DVP Equity / Cash Bonds) <input checked="" type="checkbox"/>
Securities (Custody settlement)	<input checked="" type="checkbox"/> Fixed Income Repo <input type="checkbox"/>
Stock Lending	<input checked="" type="checkbox"/> OTC Commodities <input type="checkbox"/>
Forward Freight	<input type="checkbox"/> Metals (On Exchange LME) <input type="checkbox"/>
OTC Bullion	<input type="checkbox"/> Emissions <input type="checkbox"/>
Foreign Exchange	<input checked="" type="checkbox"/> Other OTC Derivatives <input checked="" type="checkbox"/>

Anticipated volume of transactions per product:

---

Anticipated size of transactions per product:

---

Purpose of account (e.g. Hedging, Speculation, Long-Term Investment):

PROVIDE RETIREMENT BENEFITS  
VIA INVESTMENT INCOME

**SECTION 4 - CLIENT CLASSIFICATION**

Please refer to your accompanying letter for your Client Categorisation. To ensure we have categorised you correctly, please complete the following set of questions. If you do not understand the nature of the risks involved, or if you would like further information before trading, please contact us.

**Question A:**

Are you an authorised or regulated:

Broker/Dealer

☐

Bank

☐

Insurance Company

☐

UCITS / UCITS management company

☐

Pension fund / pension fund manager

☐

If yes, please provide details

Regulatory Authority Name:

---

Regulatory Jurisdiction:

---

Registered Number at Regulator:

---

Are you a:

Central Bank

☐

Supranational Organisation

☐

National Government

☐

If you are none of the above, please complete Question B, otherwise go to Section 6.

**Question B (i)**

Are you an authorised or regulated collective investment scheme/scheme manager?

Yes ☐ No ☒

If yes, please provide details

Regulatory Authority Name: \_\_\_\_\_

Regulatory Jurisdiction: \_\_\_\_\_

Registered Number at Regulator: \_\_\_\_\_

Are you an organisation whose primary purpose is to invest its own assets or those held in trust by it for others e.g. investment trust, fund, etc?

Yes ☐ No ☒

If you are regulated, please provide details

Regulatory Authority Name: \_\_\_\_\_

Regulatory Jurisdiction: \_\_\_\_\_

Registered Number at Regulator: \_\_\_\_\_

Are you a dealer in commodities or commodity derivatives?

Yes ☐ No ☒

Are you a Regional Government?

Yes ☐ No ☒**Question B (ii)**

Does the Company / Trust / Fund have a total Balance Sheet assets in excess of Euro 20,000,000?

Yes ☐ No ☒

Does the Company / Trust / Fund have a Net Turnover in excess of Euro 40,000,000?

Yes ☐ No ☒

Does the Company / Trust / Fund have a Net Worth in excess of Euro 2,000,000?

Yes ☐ No ☒**If you have not answered "Yes" to the questions in Question B (i) or to two or more of the questions in Questions B (ii), please complete Question C, otherwise go to Section 6.****Question C**

A. Does the person/s nominated in Section 1 to operate this account currently work (or has worked) in the financial sector in a professional position for more than one year?

Yes ☒ No ☐

If Yes does/did this position require them to have knowledge of the transactions the Company / Trust / Fund intend to undertake with MCM?

Yes ☒ No ☐

B. Does the Company / Trust / Fund hold a financial instrument portfolio (Financial Instrument Portfolio" includes cash deposits &amp; financial instruments (including equities, bonds, units in collective investment schemes/funds, etc.)) which can currently be valued in excess of Euro 500,000?

Yes ☒ No ☐

C. Has the person/s nominated in Section 1 to operate this account carried out transactions, in markets comparable to those you wish to trade with us, at an average size of over Euro 50,000 and a frequency of 10 per quarter over the previous four quarters?

Yes ☒ No ☐**Referring to the person(s) nominated in Section 1, please answer all of the following 5 questions in relation to the products you have ticked in Section 3 above.**

A. Do you have substantial experience of trading, making your own investment decisions?

Yes ☒ No ☐

B. Do you have adequate knowledge of the products you wish to trade?

Yes ☒ No ☐



- C. Do you understand the risks involved in trading these products? Yes ☒ No ☐
- D. Do you understand that leveraged markets can be volatile and you could lose more than your original investment? Yes ☒ No ☐
- E. Have you read and understood the accompanying Risk Disclosure document? Yes ☒ No ☐

**SECTION 5 - CUSTODY**

Where you place stock with us to cover margin requirements you are advised that this will be held on a collateral basis and not in safe custody

Do you intend place stock with us on a Custody basis?

Yes ☒ No ☐

**SECTION 6 - BASE CURRENCY**

If you default under our Agreement, we have certain rights to convert all losses and gains in respect of transactions between us into the base currency to calculate a Liquidation or Settlement Amount.

Please select a base currency for our Agreement. If you do not tick a box here, the base currency will be US Dollars, or, if you are resident in Switzerland, Swiss Francs.

US Dollars ☒ Pounds Sterling ☐ Euros ☐ Swiss Francs ☐

**SECTION 7 - PAYMENT INSTRUCTION AND BANKING INFORMATION**

Please provide details of the Bank account that you will use to make and receive payments in connection with the trading activities on your account. Please note that we intend to use these details for all future payments that you may request.

Should you wish to change your payment instructions and banking information, we will need 48 hours notice to implement the change. All such changes must be in writing and signed by you.

Please check with your Bank or financial institution (as the case may be) that the account nominated is able to accept electronic transfers.

Your nominated Bank account name must be in the same name as your account with MCM - Please note we do not make payments to nor receive payments from 3rd parties,

Name and branch of Bank or other financial institution where account is held:

J.P. Morgan Chase, NY

Address of Bank or other financial institution where account is held:

One Chase Plaza  
New York, NY

Postal/Zip Code:

10005

Country:

USA

Name on the Account:

National Financial Services LLC

Currency of the Account:

USD

Account Number:

[REDACTED]

IBAN (Compulsory for Euro Instructions):

[REDACTED]

Sort Code/ABA/BIC/Swift:

[REDACTED]

Bank ETF Code:

For Further Credit details ("FFC") (if applicable)

The Goldstein Law Group, PC 401k  
Profit Sharing Plan FBO Sheldon E. Goldstein  
Acct# [REDACTED]

Will all remittances be from the account specified above?

Yes

No ☒

If "No", please supply additional bank details on a separate sheet signed and dated by you.

**SECTION 8 - CONFIRMATIONS AND STATEMENTS**Confirmations and statements can be accessed at <https://statements.edfmancapital.com>

We will issue daily confirmations to you electronically.

**SECTION 9 - AGREEMENT & SIGNATURES**

By completing and signing this Application Form we acknowledge that:

- The information provided by us in this Form and otherwise is accurate and complete and we will notify you of any material changes to this information.
- We accept E D & F Man Capital Markets Limited Terms of Business and in particular we:
  - i. accept the Client Categorisation under FSA Rules notified to us in the Cover Letter to these Terms and Conditions unless otherwise agreed in writing;
  - ii. consent to the terms of the Execution Policy as it may be amended from time to time;
  - iii. consent to Clause 14 of the Terms and Conditions (Default, Netting and Termination);
  - iv. consent to our orders being executed off a regulated market or multi-lateral trading facility;
  - v. accept that assets placed with E D & F Man Capital Markets Limited will be dealt with in accordance with of Clause 10(b) of the Terms and Conditions (Assets Transferred) and confirmed in our Cover Letter or unless otherwise agreed separately;
  - vi. acknowledge that we have read and understood the Product and Service Risk Disclosures and Execution Policy (if applicable);
  - vii. acknowledge that E D & F Man Capital Markets Limited does not give investment advice or make investment recommendations; and
  - viii. agree that E D & F Man Capital Markets Limited may send us information regarding new products and services which they believe may be of interest to us.

Print Name:

SHeldon E. Goldstein

Signature:

Sheldon E. Goldstein

Date:

3/23/2012

do we  
need 2nd  
signature.

**PLEASE ENSURE THAT YOU HAVE READ AND UNDERSTOOD EACH OF THE DOCUMENTS REFERRED TO IN THE AGREEMENT AND SIGNATURES SECTION 9 (ABOVE). IF YOU HAVE NOT RECEIVED ANY OF THESE DOCUMENTS, PLEASE CONTACT US IMMEDIATELY.**

When returning this form, please ensure that you have enclosed the relevant documents detailed in the Documentation Checklist.

If you have any questions, please contact your representative via our switchboard.